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JAN 08 2002

Box Assignment  
 Director – U.S. Patent and Trademark Office  
 Washington, D.C. 20231

TECH CENTER 1600 2900

Re: U.S. Patent Application Serial Nos.: 08/322,137; 09/309,196; 09/286,166; 09/143,246;  
 08/461,598; 09/258,600; 08/464,531; 08/582,333; 09/747,774; 09/953,354; 08/946,298;  
 09/201,396; 09/581,861; 08/732,218; 08/936,632; 09/241,888; 09/658,765; 09/592,010;  
 09/378,046; 09/305,923; 09/426,332; 09/362,286; 09/527,998  
Attorney Docket No.: CPI-000

Dear Sir:

I enclose herewith for filing in the above-identified applications the following:

1. Executed Assignment including Appendix A (8 pages);
2. Recordation Form Cover Sheet (2 pages);
3. Check for \$920.00; and
4. Acknowledgement Postcard.

Please charge any necessary fees or credit any overpayment to our Deposit Account No. 12-0080. The undersigned requests any extensions of time necessary to respond. A duplicate of this sheet is enclosed.

**Certificate of First Class Mailing (37 CFR 1.8(a))**

I hereby certify that this correspondence is deposited with the United States Postal Service as first class mail in an envelope addressed to: Box Assignment, Director – U.S. Patent and Trademark Office, Washington, DC 20231 on:

January 11, 2002

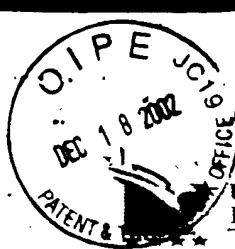
Date

Peter C. Lauro, Esq., Reg. No. 32,360

Respectfully submitted,

Peter C. Lauro, Esq.  
 Reg. No. 32,360  
 LAHIVE & COCKFIELD, LLP  
 28 State Street  
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 (617) 227-7400

Dated: January 11, 2002



UNITED STATES  
PATENT AND  
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Page 1 of 2

Rec'd:pt

Commissioner for Patents  
Washington, DC 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/258,600	02/26/1999	1643	1634	CPI-012CP4DV	11	57	4

**CONFIRMATION NO. 4086**

**UPDATED FILING RECEIPT**



\*OC00000009064765\*

Date Mailed: 11/05/2002

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Filing Receipt Corrections, facsimile number 703-746-9195. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

Dana M. Fowlkes, Chapel Hill, NC;  
Jim Broach, Princeton, NJ;  
John Manfredi, Ossining, NY;  
Christine Klein, Ossining, NY;  
Andrew J. Murphy, Montclair, NJ;  
Jeremy Paul, South Nyack, NY;  
Joshua Trueheart, South Nyack, NY;

**Assignment For Published Patent Application**

~~Cadus Pharmaceutical Corporation~~, *Cadus Technologies, Inc.*

**Domestic Priority data as claimed by applicant**

This application is a DIV of 08/461,598 06/05/1995 PAT 5,876,951  
which is a CIP of 08/322,137 10/13/1994 PAT 6,100,042  
which is a CIP of 08/309,313 09/20/1994 ABN  
which is a CIP of 08/190,328 01/31/1994 ABN  
which is a CIP of 08/041,431 03/31/1993 ABN

**Foreign Applications**

If Required, Foreign Filing License Granted 03/17/1999

Projected Publication Date: None. application is not eligible for pre-grant publication

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LAHIVE & COCKFIELD DOCKET DEPT.  
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NOV 11 2002  
11/11/02  
RETRIEVED 11/11/02  
FORWARDED 11/11/02 JSB

Non-Publication Request: No

Early Publication Request: No

**Title**

Yeast cells engineered to produce pheromone system protein surrogates, and uses therefor

**Preliminary Class**

435

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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



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TECH CENTER 1600/2900

JAN 15 2003  
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Attention: Office of Initial Patent Examination  
Customer Service Center  
Commissioner for Patents  
Washington, DC 20231

December 13, 2002

Re: U.S. Patent Application Serial No. 09/258,600, Filed February 26, 1999  
Entitled: *YEAST CELLS ENGINEERED TO PRODUCE PHEROMONE SYSTEM PROTEIN SURROGATES, AND USES THEREFOR*  
Inventors: Dana M. Fowlkes, *et al.*  
Attorney Docket No.: CPI-012CP4DV

Dear Sir:

I enclose herewith for filing in the above-identified application the following:

1. Request for Correction of Filing Receipt (1 pg. in duplicate);
2. Copy of Filing Receipt with Changes Noted Thereon (2 pgs.);
3. Copies of Notice of Recordation of Assignment dated April 19, 2002, and assignment cover sheet and executed assignment all submitted to Box Assignment on January 11, 2002 (15 pgs.);
4. Executed Associate Power of Attorney (1 pg.); and
5. An Acknowledgement Postcard.

Please charge any necessary fees to our Deposit Account No. 12-0080. The undersigned requests any extensions of time necessary to respond. A duplicate of this sheet is enclosed.

**Certificate of First Class Mailing**

I hereby certify that this correspondence is deposited with the United States Postal Service as first class mail in an envelope addressed to: Attention: Office of Initial Patent Examination, Customer Service Center, Commissioner for Patents, Washington, DC 20231 on:

December 13, 2002

Date

HATHAWAY PEASE

Hathaway Pease, Reg. No. 46,488

Respectfully submitted,

LAHIVE & COCKFIELD, LLP

HATHAWAY PEASE

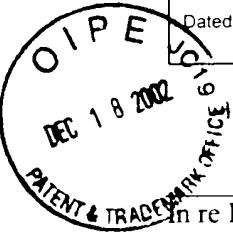
Hathaway Pease, Esq.  
Reg. No. 46,488  
Attorney for Applicants

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail, in an envelope addressed to Office of Initial Patent Examination Customer Service Center, Commissioner for Patents, Washington, DC 20231, on the date shown below.

Dated: December 13, 2002

Signature:   
(Hathaway Pease, Esq.)

Docket No.: CPI-012CP4DV



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Appln. of: Dana M. Fowlkes, et al.

Application No.: 09/258600

Group Art Unit: 1643

Filed: February 26, 1999

Examiner: Not Yet Assigned

For: YEAST CELLS ENGINEERED TO PRODUCE PHEROMONE  
SYSTEM PROTEIN SURROGATES AND USES THEREFOR

### REQUEST FOR CORRECTION OF FILING RECEIPT

Attention: Office of Initial Patent Examination  
Customer Service Center  
Commissioner for Patents  
Washington, DC 20231

Dear Sir:

Applicants hereby request that a corrected Filing Receipt be issued in the above-identified patent application. The official Filing Receipt received by Applicants, a copy of which is attached hereto, has an error. **Please correct the Filing Receipt by changing the named assignee from Cadus Pharmaceutical Corporation to "Cadus Technologies, Inc."**. In support of the requested correction, Applicants enclose herewith a copy of the Notice of Recordation of Assignment dated April 19, 20002, as well as copies of the assignment cover sheet and executed assignment submitted to Box Assignment on January 11, 2002. Please note that the serial number of the above-identified patent application is referenced on page 1 of the enclosed copy of the Notice of Recordation of Assignment. Applicants additionally request that all pertinent U.S. Patent and Trademark Office records relating to the subject application be changed to reflect this correction.

Applicants believe no fee is due with this response. However, if a fee is due, please charge our Deposit Account No. 12-0080, under Order No. CPI-012CP4DV from which the undersigned is authorized to draw.

Respectfully submitted,

By 

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